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12/07/01

12/04 U.S. PTO

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-003

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box ☐

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	97-122
First Inventor	C. David Capps
Title	Optical Beam Steering Using Small Angle Beam Steering Device
Express Mail Label No.	ET612200411US

12/07/01
10/02/01
51185
PTO**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **9**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]
5. Oath or Declaration [Total Pages **2**]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: **Check for \$.780**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

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Name (Print/Type)	LAWRENCE N. GINSBERG	Registration No. (Attorney/Agent)	30,943
Signature	<i>L N Ginsberg</i>	Date	12/7/01

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FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	
First Named Inventor	C. David Capps
Examiner Name	
Group Art Unit	
Attorney Docket No	97-122

TOTAL AMOUNT OF PAYMENT (\$)**780****METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number Deposit Account Name ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	740
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)**740****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
19	-20** = 0	18	0
3	-3** = 0	84	0
Multiple Dependent			

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9	Claims in excess of 20
102	84	202 42	Independent claims in excess of 3
104	280	204 140	Multiple dependent claim, if not paid
109	84	209 42	** Reissue independent claims over original patent
110	18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65	Surcharge - late filing fee or oath	
127	50 227 25	Surcharge - late provisional filing fee or cover sheet	
139	130 139 130	Non-English specification	
147	2,520 147 2,520	For filing a request for <i>ex parte</i> reexamination	
112	920* 112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
115	110 215 55	Extension for reply within first month	
116	400 216 200	Extension for reply within second month	
117	920 217 460	Extension for reply within third month	
118	1,440 218 720	Extension for reply within fourth month	
128	1,960 228 980	Extension for reply within fifth month	
119	320 219 160	Notice of Appeal	
120	320 220 160	Filing a brief in support of an appeal	
121	280 221 140	Request for oral hearing	
138	1,510 138 1,510	Petition to institute a public use proceeding	
140	110 240 55	Petition to revive - unavoidable	
141	1,280 241 640	Petition to revive - unintentional	
142	1,280 242 640	Utility issue fee (or reissue)	
143	460 243 230	Design issue fee	
144	620 244 310	Plant issue fee	
122	130 122 130	Petitions to the Commissioner	
123	50 123 50	Processing fee under 37 CFR 1.17(q)	
126	180 126 180	Submission of Information Disclosure Stmt	
581	40 581 40	Recording each patent assignment per property (times number of properties)	40
146	740 246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740 249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740 279 370	Request for Continued Examination (RCE)	
169	900 169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**40****SUBMITTED BY**

Name (Print/Type)	Lawrence N. Ginsberg	Registration No. (Attorney/Agent)	30,943	Telephone	949-640-6261
Signature	<i>Lawrence N. Ginsberg</i>	Date	12/7/01		

Complete (if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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